

STATE ARCHIVES AND RECORDS COMMISSION
Minutes of the Quarterly Meeting
March 13, 2008
Department for Libraries and Archives

The State Archives and Records Commission met at 10:00 a.m., Thursday, March 13, 2008, in the Board Room, Kentucky Department for Libraries and Archives (KDLA), 300 Coffee Tree Road, Frankfort, Kentucky.

Members present: Wayne Onkst, Chairman; Terry Birdwhistell, representing the University of Kentucky; Emily Dennis, representing Citizens-at-Large; Leah Hawkins, representing Citizens-at-Large; ; James Kastner, representing the Kentucky Historical Society; Robin Rader, representing Citizens-at-Large; Brian Smith, representing Citizens-at-Large; and David Schroeder, representing the Kentucky Library Association.

Representatives present: Lori Kidwell representing Helen W. Mountjoy, Secretary, Education Cabinet; Brandon Haynes, representing Joseph E. Lambert, Chief Justice, Supreme Court; Amye Bensenhaver, representing Jack Conway, Attorney General; Bryan Lykins, representing Crit Luallen, Auditor of Public Accounts; Leslie Smith, representing Robert Sherman, Director, Legislative Research Commission; and Charles Robb, representing Stephen N. Dooley, Commissioner of Technology.

Members not present or represented: Mary E. Lassiter, State Budget Director; and Dean Johnson, representing local governments.

Public Records Division staff present: Barbara Teague, Director, Public Records Division; Jerry Carlton, Manager, Local Records Branch; Glen McAninch, Manager, Technology Analysis and Support Branch; Jim Cundy, Manager, State Records Branch; Mark Myers, Electronic Records Archivist; Pam Compton, Records Analyst; Jackie Arnold, Records Analyst; and Audrey Terry, Electronic Records Specialist.

Guests present: None.

Onkst called for introductions by those present.

Mr. Kastner made a motion to accept the minutes of the previous Commission meeting, seconded by Mr. Birdwhistell. The vote by members and representatives present was unanimous.

NEW OR REVISED RETENTION SCHEDULES

Transportation Cabinet – Department of Aviation

Arnold was the Records Analyst working on this schedule revision. **Revisions to the Schedule:** Series 01717, State Flight Report File, current retention is Permanent, recommended retention is 9 years. ***Closed Series:*** Series 01718, Passenger Manifest File; Series 05743, Applications for and Certificates of Public Convenience and Necessity. ***The series numbers of the following Records Series have been changed to reflect the current five-digit numbering system:*** Series 48, Kentucky Airport System Plan and Individual Airport Master Plans to Series Number 05740; Series 50, Applications and Permits on Construction or Alterations to Existing Structures to Series Number 05742; Series 51, Applications for and Certificates of Public Convenience and Necessity to Series Number 05743; Series 52, Airport and Heliport Inspection File to Series Number 05744; Series 53, Airport Development Loan Fund Applications to Series Number 05745; Series 54, Charter Permits and Applications to Series Number 05746; Series 55, Specifications and Contracts on Construction Projects to Series Number 05747; Series 57, Airport and Heliport Construction "As Built" Plans to Series Number 05749; Series 58, Zoning Maps to Series Number 05750; Series 59, Landing Area Designations to Series Number 05751. ***These changes are not to retention or disposition. Rather, Description and Analysis Forms have been completed for these Records Series:*** Series 05740, Kentucky Airport System Plan and Individual Airport Master Plans; Series 05742, Applications and Permits on Construction or Alterations to Existing Structures; Series 05744, Airport and Heliport Inspection Records and Related Correspondence; Series 05745, Airport Development Loan Fund Applications; Series 05746, Charter Permits and Applications; Series 05747, Specifications and Contracts on Construction Projects; Series 05749, Airport and Heliport Construction "As Built" Plans; Series 05750, Zoning Maps; and Series 05751, Landing Area Designations. **Deletions from the Schedule:** Series 49, Kentucky Air Accident Reports File; Series 56, Completed Airport and Heliport Project Files; Series 66, National Transportation Safety Board Accident Reports File.

This is complete revision of the schedule for the Department of Aviation.

The Department of Aviation is headed by a Commissioner appointed by the Secretary of Transportation (KRS 183.024). Prior to its being elevated to full Department status, Aviation had been the Division of Aeronautics. The Department of Aviation has two divisions: The Greater Commonwealth Aviation Division and the Capital City Airport Division. The Greater Commonwealth Aviation Division has responsibilities for all 60 airports in the state. Safety and security are primary concerns. This division works with local airport boards to improve and enhance facilities such as lengthening and widening of runways, building aircraft hangers and aircraft parking, building and improving airport terminal facilities, installing and upgrading airport weather and navigational

systems. This division is involved in state-wide aviation related economic development and is recognized with creating, maintaining and directing aviation education programs throughout the state. In addition, this division has oversight for the three (3) state-owned State Park airports. The Capital City Airport Division is charged with maintaining the Capital City Airport in Frankfort which includes all airport facilities and systems, sixteen (16) state-owned aircraft and coordinates the scheduling of passengers on all state-owned aircraft.

Arnold summarized the schedule revision.

Cundy said that this schedule also includes a description of the electronic system used by the Department of Aviation. McAninch said that the description also listed Records Series contained in that system along with retention and disposition for those series, all of which is to help facilitate records management.

In response to a question by Lykins, Arnold said that the closed Series 01718, Passenger Manifest File has always been a part of Series 01717, State Flight Report File.

Ms. Dennis made a motion to adopt the schedule revision, seconded by Mr. Haynes. The vote by the members and representatives present was unanimous.

Finance and Administration Cabinet – Office of the Controller – Division of Local Government – County Fees Systems Branch

Compton was the Records Analyst working on this revision. **Additions to Schedule:** Series 05753, Indigent Program Payments; Series 05759, Purchase Orders; Series 05760, Board of Assessments Appeals; Series 05761, Sequestered Juror Payments. **Revisions to Schedule:** *Description and Analysis Forms have been completed for the following series:* Series 00509, Personnel Folders of County Employees on State Payroll; Series 00514, Sheriff's Expense Allowance; Series 00522, General Term Order Approving Budget for County; Series 00523, Fugitive from Justice Claims Form; Series 00525, County Clerk's Tax Bills Log; Series 00529, Computer Calendar Year Receipts and Expenditure Detail; Series 00530, Jury Fund Reimbursement; Series 00531, Witness Fund Reimbursement; Series 00532, Sheriff's Advances to Defray Expenses; Series 00533, Sheriff Bond Premiums; Series 03162, Sheriff's Monthly Fee Claims Fee; Series 03163, Report of State Moneys Collected. **Deletions from Schedule:** *The following series are no longer in use:* Series 00510, Jury Funds Ledger; Series 00511, Felony Indictment List; Series 00521, Certified Claims List from Circuit Courts; Series 00528, Board of Revenue Supervisor's Vouchers; Series 00534, Criminal Process Ledger; Series 00535, Paid Warrant Registers; Series 00536, Expenditure Analysis Report; Series 00539, Master Commissioner Annual Reports; Series 00540, Available

Balance (Microfiche); Series 00541, Receipt Report Summary (Microfiche); Series 00542, Receipt Listing Detail; Series 00543, Outstanding Encumbrances; Series 00544, Expenditure Detail (Microfiche); Series 00545, Expenditure Analysis (Microfiche); Series 00546, Monthly Expenditure Summary (Microfiche); Series 03161, Base Court Revenues.

This is a complete revision of the schedule for the County Fees Systems Branch.

The County Fees Systems Branch was created under the Division of Local Government Services, Office of the Controller pursuant to KRS 42.0201 (6) (e). The County Fees Branch provides disbursement, fiscal, personnel, payroll, training, and other essential administrative support services to state agencies, cities and counties. The Branch also acts as the fiscal officer for the county clerk and sheriff in counties with population over seventy-thousand (70,000), processes personnel actions and payroll for the clerk and sheriff in counties with population over seventy thousand (70,000), processes operation expense claims for the clerk and sheriff in counties with population over seventy thousand (70,000), receives and disburses state monies to state and local agencies, receives and disburses assessed court costs to state and local agencies, reimburses circuit clerks for the jury and witness funds, advances to sheriffs requested funds to aid the operation of their office, reimburses sheriffs for court security time, felony arrests, summoning witnesses, summoning jurors and attending jury, reimburses sheriffs and jail facilities for transporting prisoners, and processes indigent program claims.

Compton summarized the schedule revision.

Ms. Smith made a motion to adopt the schedule revision, seconded by Mr. Lykins. The vote by the members and representatives present was unanimous.

Board of Medical Licensure

Arnold was the Records Analyst working on this schedule revision. **Additions to Schedule:** Series 05726, Licensed Allied Health Professionals Master Folder; Series 05727, Allied Health Renewal Master Folder. **Revisions to Schedule:** Series 04806, Investigative File – No Action Required, from a current retention of Indefinite, Transfer to Records Center after case closure and retain 5 years, to a recommended retention of Indefinite, destroy when no longer useful. ***The following changes are not to retention or disposition. Rather, Description and Analysis Forms were completed for these series:*** Series 01540, Non-Licensed Application File – Function, Use and Contents added. **Closed Series:** *The following series are closed as they are part of the Board's Electronic Database:* Series 01538, Card Index to Master Folders; Series 01542, Licensed Medical Doctor Roster; and Series 01543, Licensed Doctor of

Osteopathy Roster. **Deletions from Schedule:** Series 01537, Licensed Athletic Trainers Master Folder; Series 01539, Examination Score Sheets – Data captured in Series 01534, Licensed Doctors of Medicine Master Folder and Series 01535, Licensed Doctors of Osteopathy Master Folder; Series 03963, Licensed Physician Assistant File – Series incorporated into series 05726

This is a complete revision of the retention schedule for the Board of Medical Licensure.

The mission of the Kentucky Board of Medical Licensure is to protect the public by ensuring that licensure qualifications and standards of medical and osteopathic physicians are met and that appropriate disciplinary action is taken in a timely manner when violations of the Medical Practice Act occur. The Board is also responsible for regulating qualified physician assistants, athletic trainers, surgical assistants and acupuncturists practicing in the Commonwealth. Most occupations and professions that require a state license are licensed and regulated by one of 36 boards and commissions. Kentucky is an autonomous board state, which means that these 36 agencies are not organized under an umbrella agency, but rather function as independent, autonomous units of state government. The basic organizational structure and functions of the boards and commissions are quite similar. Licensure boards are comprised of board members appointed by the Governor, generally for four years, with staggered terms. Boards range in size from five to fifteen members, with five being the mode. All board members, except one, are required by law to be licensed in the occupation, or profession being regulated. One board member, by 1974 Act, is required to be a public member with no financial interest in the occupation, or profession being regulated. Board members are customarily appointed from lists submitted by professional associations. The purpose of the licensure boards is to license and regulate the statutorily designated occupations and professions, in order to protect the public health, safety and welfare. To accomplish this, boards have two primary areas of responsibility: licensure and enforcement. The licensure function deals with entry into the profession. In broad terms, the boards determine an individual's initial fitness and competency to practice an occupation, or profession. Boards process applications for licensure, check qualifications against statutory requirements, administer licensing examinations and issue and renew licenses. The enforcement function involves tasks designed to assure that licensees continue to practice competently after initial licensure. Specifically, boards administer continuing education requirements, process complaints against licensed practitioners, conduct investigations, hold hearings and take disciplinary actions against incompetent or fraudulent practitioners. Disciplinary sanctions range from reprimands, to license revocations.

Arnold summarized the schedule revision. The Archives and Records Management Advisory Committee recommended that the access restrictions cited, which are KRS 61.878(1)(h) and (j) be investigated as possibly inappropriate or too broad. Arnold said

that the Board would like to use KRS 61.878(1)(a), for Social Security Numbers and medical information of physicians.

Teague noted that the system described on this schedule includes records of varying retention periods so that agency staff would be made aware of the need to manage digital records of varying retention periods.

Mr. Haynes made a motion to adopt the schedule revision, seconded by Mr. Kastner. The vote by the members and representatives present was unanimous.

Cabinet for Health and Family Services –Office of the Ombudsman

Compton was the Records Analyst working on this schedule revision. **Additions to the Schedule:** Series 04145, Client Review File; Series 05544, Quality Control Case Reviews; Series 05705, Quality Control Case Reviews – Medicaid; Series 05706 – Non-Hearable Protection and Permanency Appeal Requests.

This is a complete revision of the retention schedule for the Office of the Ombudsman.

The Office of the Ombudsman is created in the Cabinet for Health and Family Services (hereinafter "CHFS") per KRS 194 A.030 (8). This office serves as an advocate for citizens and works to ensure those seeking various public services through CHFS are treated fairly. The Office of the Ombudsman answers questions about CHFS programs, investigates customer complaints and works with CHFS management to resolve them, advises CHFS management about patterns of complaints and recommends corrective action when appropriate. The Office of the Ombudsman consists of four distinct programs: the Long-Term Care Ombudsman Program, the Complaint Review Branch, the Quality Control Branch, and the Performance Enhancement Branch.

Compton summarized the schedule revision.

In response to a question by Ms. Dennis, Compton said that a she is working on a system description for the Cabinet for Health and Family Services as a whole. In response to a question by Robb, Cundy said that the complete Records Retention Schedule would include any appropriate system descriptions, so that it would be clear which Records Series on the Retention Schedule were contained on which system.

Mr. Haynes made a motion to adopt the schedule revision, seconded by Mr. Kastner. The vote by the members and representatives present was unanimous.

General Government – Board of Physical Therapy

Arnold was the Records Analyst working on this schedule revision. **Additions to Schedule:** Series 05757, Renewal Applications File; Series 05758, Inactive License File. **Changes to Schedule:** Series 00940, Physical Therapist and Physical Therapist Assistant Master File – Confidentiality restriction added, incorporates deleted series 04126; Series 00944, Applicants Never Licensed File – Confidentiality Restriction added. **Deletions from Schedule:** Series 00945, License Stub Book; Series 00946, Position Control Report; and Series 04126, Exam Results File – incorporated into series 00940.

The Board of Physical Therapy licenses all physical therapists and physical therapist assistants for the Commonwealth of Kentucky. The Board interprets and enforces the laws and regulations through the credentialing process, investigating complaints and applying disciplinary measures as set forth by law. Most occupations and professions that require a state license are licensed and regulated by one of 36 boards and commissions. Kentucky is an autonomous board state, which means that these 36 agencies are not organized under an umbrella agency, but rather function as independent, autonomous units of state government. The basic organizational structure and functions of the boards and commissions are quite similar. Licensure boards are comprised of board members appointed by the Governor, generally for four years, with staggered terms. Boards range in size from five to fifteen members, with five being the mode. All board members, except one, are required by law to be licensed in the occupation, or profession being regulated. One board member, by 1974 Act, is required to be a public member with no financial interest in the occupation, or profession being regulated. Board members are customarily appointed from lists submitted by professional associations. The purpose of the licensure boards is to license and regulate the statutorily designated occupations and professions, in order to protect the public health, safety and welfare. To accomplish this, boards have two primary areas responsibility: licensure and enforcement. The licensure function deals with entry into the profession. In broad terms, the boards determine an individual's initial fitness and competency to practice an occupation, or profession. Boards process applications licensure, check qualifications against statutory requirements, administer licensing examinations and issue and renew licenses. The enforcement function involves tasks designed to assure that licensees continue to practice competently after initial licensure. Specifically, boards administer continuing education requirements, process complaints against licensed practitioners, conduct investigations, hold hearings and take disciplinary actions against incompetent or fraudulent practitioners. Disciplinary sanctions range from reprimands, to license revocations.

This is a complete revision of the retention schedule for the Board of Physical Therapy.

Arnold summarized the schedule revision. The Advisory Committee recommended that the access restrictions cited, which are KRS 61.878(1)(f) and (g) be revised to KRS 61.878(1)(a)(h)(i) or (j), which would be more appropriate. Arnold said that the Board would like to use KRS 61.878(1)(a), for Social Security Numbers and medical information.

Mr. Haynes made a motion to adopt the schedule revision, seconded by Ms. Dennis. The vote by the members and representatives present was unanimous.

CHANGES TO CURRENT SCHEDULES

Cabinet for Economic Development – Department for Financial Incentives

Arnold was the Records Analyst working on this schedule revision. **Addition to Schedule:** Series 05769, Bluegrass State Skills Projects Master Folder.

The Department for Financial Incentives coordinates all financial assistance, tax credit, and related programs available to business and industry. Programs that help businesses in this way are designed to further the commonwealth's goals of achieving long-term economic growth and full employment for its citizens. The Department consists of the Grant Programs Division, Tax Incentives Program Division, Direct Loan Programs Division, Program Servicing Division, and the Bluegrass State Skills Corporation.

Arnold presented the schedule addition.

Mr. Birdwhistell made a motion to adopt the schedule addition, seconded by Ms. Dennis. The vote by the members and representatives present was unanimous.

Commerce Cabinet – Department of Fish & Wildlife Resources

Arnold was the Records Analyst working on these schedule revisions and deletions. **Revisions to Schedule:** Series 02028, Conservation Officer's Report of Seizure and Court Order, from 2 years to Permanent. ***The following does not represent a change in retention or disposition. Rather a Description and Analysis Form was complete for this series:*** Series 02153, Commercial Licenses File – Records Title Change from *Permit and License Folders*. Transferred from Division of Fisheries to Division of Licensing. ***The series numbers of the following Records Series have been changed to reflect the current five-digit numbering system.*** Series 231.1, Coast Guard Annual Boat Sales Report to Series 05763; Series 231.2, Boat Dealer File to Series 05764; Series 231.3, Motorboat Registration Certificate to Series 05765; Series 231.4, Circuit Clerk's Daily Sale of Boat Licenses Report to Series 05766; Series 231.5, Boat Number Assignment List to Series 05767; and Series 231.6, Record of Boat Registration by Month to Series 05768. **Deletions from Schedule:** Series 02027,

Uniform Citations – series incorporated into Series 03984, Uniform Offense Report-KSP Records; Series 03993, Monthly Firearms and Equipment Inspection Record; Series 03998, Integrated Criminal Apprehension Program Project – series incorporated into Series 03984, Uniform Offense Report-KSP Records.

The functions of the four-member Game and Fish Commission created in 1912 were placed in the Department of Conservation when it was created in 1936. The Department of Fish and Wildlife was created by the 1944 General Assembly, when the Division of Game and Fish was removed from the Department of Conservation. The Department of Fish and Wildlife received its current name in 1952. The Department, as established by KRS 150.021, is responsible for the protection and improvement of fish and wildlife resources throughout Kentucky. It is under the general supervision of the Fish and Wildlife Resources Commission. The Commission, established by KRS 150.022, is a bipartisan body of nine members, one from each of the nine districts, appointed by the Governor from a list of five provided by sportsmen in each district. The Commission is responsible for developing Department policy by approving administrative regulations. The Department of Fish and Wildlife is headed by a Commissioner appointed, pursuant KRS 150.061, by the Fish and Wildlife Commission. The Commissioner is responsible for staffing, expending funds and administering programs of the Department. Financial support of the Department is derived from its sale of hunting and fishing licenses, miscellaneous licenses, federal grants and fines and penalties assessed by the courts for violation of game and fish laws. The Department has seven divisions: Law Enforcement Division, Administrative Services Division, Engineering Division, Fisheries Division, Information and Education Division, Wildlife Division and Public Affairs and Policy Division.

Arnold summarized the schedule revisions and deletions.

In response to a question by Birdwhistell, Arnold said that the change in retention for Series 02028, Conservation Officer's Report of Seizure and Court Order, from two years to permanent, is based on the agency's need to create a paper trail for items such as firearms and costly items like vehicles and boats that are seized and sold. This series has administrative value because it provides information when questions arise surrounding the legality of the seizure and sale of property. Birdwhistell asked whether the Commission members should approve the change without a compelling reason given that the agency could maintain the record permanently even with a two-year retention. The relatively low reference rate on this series also indicates that the record might not have permanent value. The shorter retention period would allow agency staff to retain obsolete records that do not have permanent value if they want to do so, while also allow staff to destroy the records if they are no longer needed.

Mr. Haynes made a motion to adopt the schedule revisions and deletions, with the exception of Series 02028, Conservation Officer's Report of Seizure and Court Order,

based on the need for more information, seconded by Mr. Kastner. The vote by the members and representatives present was unanimous.

Governor's Office for Local Development

Arnold was the Records Analyst working on these schedule additions and revisions. **Additions to Schedule:** Series 05754, Budgetary Line Item Project Files; Series 05755, Special Intra-Governmental Programs Project Files; Series 05756, Community Economic Growth Grant Files. **Revisions to Schedule:** Series 04719, Land and Water Conservation Fund Program Files, from a current retention of 1 year to Permanent; and Series 04721, National Recreational Trails Fund Program Files from a current retention of 1 year to a recommended retention of Permanent.

The Governor's Office for Local Development (GOLD), formerly the Department for Local Government, provides financial help in the way of grant and loan assistance, as well as advising local governments in matters of budget, personnel and other items relevant to those entities. These include procurement, financial management, property tax rates, community revitalization or economic development, training of officials and intergovernmental relations between the commonwealth and the federal government. Subunits of the office include the Office of Legal Services, the Office of Finance and Administration, the Office of Federal Grants, the Office of State Grants, the Kentucky Infrastructure Authority and the Office of Field Services.

Arnold summarized these schedule additions and revisions.

The Advisory Committee recommended that Series 05754, Budgetary Line Item Project Files; Series 05755, Special Intra-Governmental Programs Project Files; and Series 05756, Community Economic Growth Grant Files be investigated. Committee members felt that parts of these files, such as the applications, might have historically valuable information about the applicants and the communities served by these funds. Staff at GOLD agree that there might be historically valuable information in these files, and are willing to have them assigned a permanent retention rather than the proposed eight years.

Series 04719, Land and Water Conservation Fund Program Files, and Series 04721, National Recreational Trails Fund Program Files, document land and water conditions that are to be maintained permanently and that are monitored and checked periodically, so that documentation is necessary.

Mr. Kastner made a motion to adopt the schedule additions and revisions, seconded by Ms. Dennis. The vote by the members and representatives present was unanimous.

Public School District Records Retention Schedule – Personnel

Carlton was the Regional Administrator working on this schedule addition. **Additions to the Schedule:** Series L5865, Position Classification Documents File.

The first attempt to assemble a school district – wide records retention schedule was made in 1988. The Archives and Records Commission approved this schedule that year. In 1999 a complete revision of the schedule was approved by the Commission. This schedule included K through 12 and the school district central office in one schedule. In March of 2003 the Commission once again approved a revision of the entire schedule. The 174 school districts in the Commonwealth produce an overwhelming amount of paper and electronic records. We continue to work with school districts providing records management training and direct service.

Carlton presented the schedule addition.

Mr. Birdwhistell made a motion to adopt the schedule addition, seconded by Mr. Robb. The vote by the members and representatives present was unanimous.

General Schedule for State Agencies – Fiscal Records Section

Cundy was the Records Analyst working on this schedule addition. **Additions to the Schedule:** Series F0140, Data Transfer Files.

A General Schedule is a class of records retention schedule that governs the retention and disposition of specified records common to several or all public agencies. The General Schedule for State Agencies covers records for State Agencies.

This submission represents part of the continuing effort to update the General Schedule for State Agencies.

Cundy presented the schedule addition.

Mr. Schroeder made a motion to adopt the schedule addition, seconded by Mr. Lykins. The vote by the members and representatives present was unanimous.

Justice and Public Safety Cabinet – Department of State Police

Compton was the Records Analyst working on these schedule additions. **Additions to the Schedule:** Series 05734, Special Local Peace Officer Applications; and Series 05739, Special Law Enforcement Officer Applications.

The Department of State Police was formed on July 1, 1948, when legislation was signed giving its officers full police powers, both traffic and criminal. All offices, facilities, equipment, duties, powers and funds of the State Highway Patrol were transferred to the Department. In 1956, the Department was abolished and it became the Division of Kentucky State Police in the Department of Public Safety. From 1973 to 2004, it was part of the Justice Cabinet. In 2004, the Department became part of the Justice and Public Safety Cabinet, by order of the Governor. Its duties and powers are contained in KRS Chapter 16. KRS 16.060 details the duties and powers of the Commissioner and officers of the Kentucky State Police. It is the duty of the Commissioner and each officer of the Department to detect and prevent crime, apprehend criminals, maintain law and order throughout the state, collect, classify and maintain information useful for the detection of crime and the identification, apprehension and conviction of criminals, and enforce the criminal as well as the motor vehicle and traffic laws of the Commonwealth. The KSP must also provide security of state facilities located in Frankfort, highway enforcement, and water safety enforcement, as provided in KRS Chapter 235.

Compton summarized the schedule additions.

In response to a question by Birdwhistell, Compton said that these files are similar to personnel files, and reviewed the information contained in them. The agency wants to maintain these files permanently because they represent appointment of law enforcement officers under special circumstances such as strikes and other extraordinary events. Birdwhistell questioned whether these records were the proper means of capturing that, admittedly valuable, information. He wondered whether these records, which have access restrictions attached to them, should be housed permanently at the State Archives. The possibility of tabling these proposed additions was discussed.

Bensenhaver said that, in addition to KRS 61.878(1)(a), there is an access restriction related to this series, mainly covering psychological assessments of candidates, and that she would investigate that restriction.

Mr. Smith made a motion to table the schedule revision, for the purposes of gathering more information, seconded by Mr. Kastner. The vote by the members and representatives present was unanimous.

State University Model

Cundy was the Records Analyst working on these schedule additions and revisions.
Additions to the Schedule: *Libraries/Museums*: Series U0500, Friends of the Library Records; Series U0501, Accession Records; Series U0502, Deaccession Records; Series U0503, Appraisal Records; Series U0504, Artifact Loan Records; Series U0505,

Collection Control Records; Series U0506, Patron Records; Series U0507, Reference Request Records; Series U0508, Circulation Records; Series U0509, Interlibrary Loan Records. ***Personnel – Affirmative Action/Employee Relations:*** Series U0644, Grievance File. ***Revisions to the Schedule: The following are not changes in retention or disposition. They reflect an updates to the records Description and Analysis forms for these series: Administrative Services – Personnel/Payroll:*** Series U0620, Personnel File – Contents section updated to include appropriate licenses, certifications or updates as needed. ***Administrative Services – Buildings/Grounds/Physical Plant:*** Series U0703, Capital Construction/Building File

The State University Model Records Retention Schedule covers records that are common among Kentucky's public university campuses and its Community and Technical College System.

This is part of a continuing effort to update the State University Model Records Retention Schedule.

Cundy summarized the schedule additions and revisions.

Mr. Birdwhistell made a motion to adopt the schedule revision, seconded by Ms. Kastner. The vote by the members and representatives present was unanimous.

Environmental and Public Protection Cabinet – Department of Labor – Office of Workers' Claims

Compton was the Records Analyst working on this series revision. ***Revisions to Schedule:*** Series 04739, Citation Files, from a current retention of Destroy three years after final payment or dismissal of citation to a recommended retention of Destroy three years after final disposition.

The Office of Workers' Claims (OWC) has the overall authority and oversight responsibility for operation of Kentucky's Workers' Compensation Program under Chapter 342 of the Kentucky Revised Statutes. The OWC is administratively attached to the Kentucky Department of Labor. The primary purpose of Kentucky's Workers' Compensation Act is to restore an income stream to an injured worker to the extent it has been severed by an industrial injury or occupational disease; to provide timely medical services for the cure or relief of the injury; and to provide rehabilitation and retraining services to injured workers unable to return to their former jobs. The primary goal of the OWC is to assure prompt delivery of statutorily enacted benefits, by providing an expedient processing of injury and occupational disease claims through a non-adversarial process, including mediation, and resolution of disputes through prompt adjudication by administrative law judges.

Compton presented the series revision.

Mr. Birdwhistell made a motion to adopt the schedule revision, seconded by Ms. Kastner. The vote by the members and representatives present was unanimous.

The next order of business was **Local Records Grants Review**.

Onkst recognized Teague, who said that Commission members had received summaries of seven grants, totaling \$299,384.00, that have already been awarded by the time of the Commission meeting. This is a departure from past practice, under which both the Advisory Committee and the Commission reviewed grants before they were formally awarded. These grants, however, come in a difficult financial period. The Department was asked recently to make a three percent budget cut, and this cut came from a reserve of grant money that had come to the Department because of an increase in the County Clerks' Legal Process Tax. The grants before the Commission are being given to help avoid further cuts in available grant money, and were given without Advisory Committee or Commission review so that the money could be distributed as quickly as possible. Carlton said that he had consulted with the Local Records Regional Administrators to determine the most worthy projects and had chosen these. Six of the seven grants are going toward digital imaging systems or scanning projects such as backfile conversion. Over eighty of the county clerks have digital imaging systems, which make records accessible, help to reduce paper, and make microfilming easier.

In response to a question by Birdwhistell, Carlton said that he and Teague had attended a Kentucky County Clerks Association Legislative Committee Meeting and let them know about the cuts. The Clerks expressed dissatisfaction, though they understood the reasons for the reduction in grant funds. The clerks value the services offered by the Local Records Branch in addition to the grant money, and understand that Local Records staff are doing their best to provide assistance.

Moving on to **other business**, Onkst said that Local Records staff had responded to a fire at the Carlisle County Courthouse. Carlton said that the vaults of the County Clerk and the Circuit Clerk were left standing after the fire, and that there was minimal damage to records.

Onkst said that earlier in the year the Department had to make a three percent budget reduction in the current budget. Those savings had been made in several areas: retirees' salaries, operating costs, and \$330,000.00 in Local Records Grant funds. The reduced grant funds were taken from money the Local Records Branch had received as a result of an increase in County Clerks' fees. Also recently, the Department was required to submit a worst-case-scenario of a twelve percent reduction for the upcoming biennium. The House version of that budget includes a potential \$127,500.00

cut from the grant funds coming from the increase in County Clerks' fees, which would be redirected to fund library construction. Carlton said that future budgets might also include the cut of \$127,500.00, for a cut of \$255,000.00 for the next two budget cycles.

Onkst recognized Teague to discuss legislative tracking documents that had been distributed to Commission members. One describes the categories of bills being monitored. The Department tracks bills that affect recordkeeping and libraries in some manner. The Department may be assigned to respond to a bill or ask to be assigned to respond. The other document provides details of selected bills to which the Department had responded. One bill proposed allowing County Coroners to file death certificates; others involve electronic records issues. Commission members can consult the Department if they are interested in the fate of a given bill.

Onkst said that PRD staff had been discussing the possibility of forming a committee under the Commission that would review only the General Schedule for State Agencies. He recognized Cundy, who said that, because the General Schedule for State Agencies applies to all state agencies it would benefit from review from a wider review and distribution than it currently receives. He suggested that the Commission create an Advisory Committee to the Commission for the purposes of reviewing the current state of the General Schedule for State Agencies and suggesting additions and revisions; and reviewing proposed future additions and revisions. He also suggested that future additions and revisions to the General Schedule for State Agencies are posted on the Department's website one meeting prior to the meeting at which they will be considered to allow sufficient time for review.

In response to a question by Bensenhaver, Cundy said that the committee would be small enough to make operations easy, while also allowing for broad representation.

In response to a question by Robb, Cundy said that representatives from the information technology sector would be included on the committee. This committee would result in another layer of review for proposed General Schedule entries before they reach the Archives and Records Management Advisory Committee.

Mr. Birdwhistell made a motion to create a Committee on the General Schedule for State Agencies, seconded by Mr. Kastner. The vote by members and representatives present was unanimous.

There being no further business, Onkst adjourned the meeting at 11:35.